**UCRC Meeting Notes**

November 8, 2013

**Taxable Benefits Update:**

* Taxation and reporting compensation other than salary and wages to RF employees or independent contractors
* Taxable and Reportable Income:
  + Personal use of things: is considered cash or cash equivalent, it’s income:
  + RF Guideline document
  + Computer equipment
  + Rental cars
  + Gift Cards = cash
  + Cell phones
  + Housing
  + IRS Form
  + SUNY Employees are treated differently than RF employees
  + Travel reimbursement not submitted within 120 days (timely) is taxable.
  + RF payments that fit these rules, must have deductions taken from them. AND **fringe**! Budget for these costs.
  + Non US citizens withhold 30% off the top and have special.
  + 1099 thresholds are generally at $600, but see the guidelines.

**Mentoring Update**

* Brent and Michelle at Cortland
* List of Advisory Council
* [Presentation slides (unformatted PowerPoint file for best printing)](https://portal.rfsuny.org/portal/page/portal/lang-en/ver-1/D9DDF541CCDC3A6AE0440003BA0FDA14)
* No cost and very rich
* 18 month curriculum
* Can be brought to campuses
* Public speaking
* Servant leadership
* Crucial conversations
* Professional Development Program with the foundation of research.
  + Create as you go model.
  + Based on needs of protégés
  + Professional development opportunities and satisfaction

**Grants Gateway:** [**http://grantsreform.ny.gov/**](http://grantsreform.ny.gov/)

* Launched 5/15/13
* 4 phases
  + Document Vault
  + Opportunity Portal: Carol at Buff State has opened it.
  + Online Contracts: winter 2014
  + Online Claims: Spring 2014 (maybe)
* Three annual pieces are: 990, Financial Statement, and the 2020 Statement
* Have to update the prequalification every three years

**Pre-Award Matrix**

* Anne Connolly, Shadi Shahedipour-Sandvik, Scott Shurtleff
* What are the Goals
* Scott: Modules
* Have to buy it, and we’re not going to do this.

**4E Collaborative Funding**

* Update: <https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/info_researchers_administrators/networks_of_excellence/suny4e>
* **SUNY Health Now - Request for Letters of Intent**
* Note that required letters of intent are due by **5 pm EST on Tuesday, December 31, 2013** and will be reviewed throughout January 2014.  Invitations to submit a full proposal will be sent to applicants in January 2014.  For information regarding this RFP please visit the [SUNY Health Now Network of Excellence](https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/info_researchers_administrators/networks_of_excellence/suny_health_now) website.
* The [Networks of Excellence](https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/info_researchers_administrators/networks_of_excellence) were created to facilitate system-wide collaboration and partnerships, and to share expertise and assets for innovative advances in research.  By bringing together the varied expertise disbursed across the state into collective networks, SUNY can excel as a prominent national and international scientific leader, grow the number of research applications and awards, and educate our next-generation workforce.  Our goal is to assemble scientists and scholars from multiple campuses and industry and/or community partners to engage in joint programs of research that are competitive for external funding and to enhance experiential learning of students.
* Idea is to fund in the millions for a five-year period and then have it become self sustaining.
* 80 Engineering proposals in, 10% funded.
* Faculty connecting at the panel reviews
* 75 proposals for the $150,000
* $500,000 Empire Motivation is coming out in two phases. Started with 9 million every year. To improve faculty, who have their own grants, and this money is to equip the labs, pay or bring grad students. Now $4 million left.

**PIVOT--COS:**

* **Pivot** use is going to have a couple more functions added to it and the contract has been renewed for one more short year.

Start-Up NY: <http://www.esd.ny.gov/>

* Emergency Regulations are up. Read and comments are due by December. [Start-Up New York Regulations](http://www.esd.ny.gov/BusinessPrograms/Data/StartUpNY/StartUpNY2013FinalRegulations.pdf)
* Heather Hage, Scott Shurtleff
* <http://startup-ny.com/>

BREAK

**ECRT-Cert: Certifications:** <https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/info_researchers_administrators/effort_reporting_certification>

* No paper forms to sign and route
* Just a few clicks to complete your effort certification
* View even more information about your effort and sponsored awards:
  + Detailed payroll transactions
  + The dollar amounts behind the effort percentages
  + Staff charging effort to your awards
  + The amount of effort you committed to each award
* Access your information anytime and anywhere you have Internet access—mobile devices too!
* For recipients of federal dollars
* We’re at 90.9%
* Faculty Certifications
* Escalations Process of Outstanding Statement Certifications
* Cost Share IFR Charges Forms have to be charged in the 1st month of the grant period instead of waiting for the department or faculty to do it **late**.
* COI Form?
* KPMG for their AM133 Audit? Campus certifications signed. Effort statements can be printed for the auditors some time soon.
* Best handled on a case by case basis
* **What is effort reporting?** Effort reporting is a federally-mandated process by which the salary and wages charged to a sponsored program are certified as being reasonable in relation to the actual work expended on that project.

|  |
| --- |
| * U.S. federal government requirements in Circular A-21 state that institutions receiving federal awards must maintain systems and processes that document the distribution of activity and associated payroll charges to each individual sponsored award. These requirements are included in the following OMB materials: * [> Circular A-21, “Cost Principles for Educational Institutions,” Section J.10](http://www.whitehouse.gov/omb/circulars_a021_2004#j) * [> OMB Memoranda 01-06, “Clarification of OMB A-21 Treatment of Voluntary Uncommitted Cost Sharing and Tuition Remission Costs,” January 05, 2001](http://www.whitehouse.gov/omb/memoranda_m01-06) |

**STEM Funding Model**

* TUES: Transforming Education and Sciences Awards
* Being replaced by Cause
* All 226 STEM ED programs in 12 agencies
* 78 eliminated
* $3.1 Billion increase over 2012
* NSF Grad and UG up $89 Million
* SED K-12
* Smithsonian for the Informal Grants
* **NOAA Be Wet is GONE**
* SUNY white paper writing a white paper with up-to-date summary of the literature and changes. Expected in early 2014.
* <http://www.whitehouse.gov/issues/education/reform>

**A-81 Super Circular:** Chris Wade

* <http://www.whitehouse.gov/sites/default/files/omb/assets/omb/circulars/a11/current_year/s81.pdf>
* <http://www.whitehouse.gov/sites/default/files/omb/assets/a11_current_year/s81.pdf>
* <http://www.whitehouse.gov/omb/circulars_a001/>
* Direct Charges of
* Removing
* Computers and electronic under $5,000 are supplies
* Data elements, time frames for rfps something, consistency across the agencies,
* Judging proposals on financial risk of agency requesting funds.
* Cost share changes: look, but its less of a point now. They are not going to be looking at it, don’t waste you’re time one it.
* IDC pass thru 10% minimum on those without a negotiated rate.
* Subrecipient monitoring requirements, see the circular.
* Reports and records, electronic records can be submitted.
* Administrative burden: consistency in some damn thing
* $750,000 Audit threshold from $500,000
* 14 compliance requirements reduced to seven
* Comments: Justin Gordon. The new circular was intended to reduce fraud and abuse and add flexibility. But the new circular actually increases the opportunities for fraud and abuse.
* COBRA Guidance
* RF Site OMB Response to Public Comment: <https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/info_researchers_administrators/omb_grant_reform>
* <http://news.sciencemag.org/2013/02/universities-see-progress-new-rules-managing-u.s.-research>

LUNCH

**Oracle R12 Update: Essential Information**

* <https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/What_we_do/rf_strategic_plan/project_communications/oracle_upgrade>
*  November 4-15, 2013 - User Acceptance Testing: Structured Tests
*  November 4-22, 2013 - User Acceptance Testing: Unstructured Tests
*  November 22, 2013 - System Shutdown
*  December 2, 2013 - Release 1: Oracle R12 Applications, RF Report Center
* January 2, 2014 - Release 2: Oracle Advanced Benefits, Employee Self-Service, Manager Self-Service.
* [Frequently Asked Questions (FAQs)](https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/What_we_do/rf_strategic_plan/project_communications/oracle_upgrade/files/golivefaq.pdf)
* [Oracle Upgrade eNews Archive](http://sunyrf.informz.net/SUNYRF/archive.asp?aid=1524)
* [Introduction to New Functionality with the Oracle Upgrade Learning Tuesday Presentation](https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/Working_at_the_RF/learning_tuesdays/learning_tues_events/09-10-13_oracle_upgrade)
* [Introduction to the RF Report Center Learning Tuesday Presentation](https://portal.rfsuny.org/portal/page/portal/The%20Research%20Foundation%20of%20SUNY/home/Working_at_the_RF/learning_tuesdays/learning_tues_events/09-24-13_oracle%29_upgrade)
* These are run on the latest and the greatest platforms!
* UB: <https://wiki.cse.buffalo.edu/services/content/oracle>

**Internal Audit Update**

* OSC: recovery of overhead in the administrative of grants
* A133
  + Albany + many
  + November and December
  + One finding at Stoneybrook: Untimely something
  + Buff State Center for Development Technical Services: Fixing it?!
  + Reviews in the works
  + Opinions were clean
  + Bunch of tiny crap that auditors like so they can sleep at night
* Internal Audit Update
  + Risk Based Audit Plan
  + Cost sharing
  + Conflict of interest
  + Both of the last two were big deals last and this year
  + Oracle is flagged in terms of quality assurance
* Sponsor audits on campus: notify internal audits at RF
  + If you need assistance
  + Can talk to auditors
  + If it’s going south, they can help
  + Another campus might be getting audited by the same sponsor and we can notify them to warn them abut the same potential dangers.
  + <https://portal.rfsuny.org/portal/page/portal/Financial_reports/Corporate%20Reports/A-133%20Report>

**OM Disclosure Checklist: What and Why:** Donna Kiley

* RF nominates a person as OM
* Meets with campus to vet the person
* Meets with campus
* Appointment letter
* **Orientation** at Central Office 10:00-3:00
* OMs and Deputy OMs meet Central Office people
* Sponsored programs is talked for 1-1 ½ hours
* Legal ½ hour
* Internal office, HR and something else 15 minutes each
* Email next day with the people the met and stuff they’ll need.
* This is listed on the RF non public page
* Limitations of OM template is there. What they can’t do on behalf of the F.
* Deputy OM letter template allows the OM to delegate responsibilities to the deputy responsibilities and stuff they the OM doesn’t want to delegate: like the OM disclosure statement.
* Roles and responsibilities document: lists the descriptions and resources they can tap to do their job: projecting common expenses for future years.
* **OM assessment and Review**
* Cathy and Tim Horcot?
  + Reviews the OM
  + Letter arrives from the RF
    - Complete a self evaluation
    - What the central office should supply him with
    - Anonymous survey by OSP staff and faculty members
  + **The OSP and Faculty surveys are separate so Kevin would know exactly what we said. I brought it up and she was oblivious to the question but the rest of the room got it.**

**Sub-Recipient Monitoring – Critical Steps** Keith Kaplan

* OM signs the disclosure checklist
  + Financial
    - Questions that lead to financial disclosures: loans, fraud,
    - He sends these out 6/30 but it doesn’t mean you should sit on something that needs to be disclosed. Do it when it happens.
    - Perks, housing, spousal travel, fundraising.
  + Internal Controls
    - Review on campuses
    - Key controls or on the OM checklist
    - Verify these, it changes every year
    - Does the OM do trainings on internal controls, are you made aware of the new changes in the annual OM checklist.
    - **We can request Susan Zaffers-Vincelette who would pick a staffer to come out to see us.**
  + Ubit: non standard activities, not sponsored programs
    - $ coming to campus
    - commercial activities
    - parking lot generating funds
    - incubators sucking us dry
  + General Sections
    - Stuff you’re not sure you want to disclose or not.
    - OM will review it so how do you whistle blow?